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Attorney Docket No.: NUAN-00700

BOX NEW PATENT APPLICATION
Assistant Commissioner for Patents
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Sir:

Transmitted herewith for filing is the patent application of Inventor: Hy Murveit et al.

Title:

ADAPTIVE MULTI-PASS SPEECH RECOGNITION SYSTEM

CERTIFICATION UNDER 37 CFR § 1.10

I hereby certify that this New Application and the documents referred to as enclosed herein are being deposited with the United States Postal Service on this date, April 20, 1999, in an envelope bearing "Express Mail Post Office To Addressee" Mailing Label Number EL188667681US addressed to: PATENT APPLICATION, Assistant Commissioner for Patents, Washington, D.C. 20231.

Danielle Dalton
(Name of Person Mailing Paper)

Signature

Enclosed are:

1. The papers required for filing date under CFR § 1.53(b):
- | | | | |
|-----------|--|----------|-----------------------|
| <u>33</u> | Pages of Specification (including claims); | <u>6</u> | Sheet(s) of Drawings. |
| | | | <u>X</u> Formal |
| | | | <u>-</u> Informal |
- X Declaration or Oath (combined with Power of Attorney)
X Power of Attorney (combined with Declaration)
X Assignment of the Invention to Nuance Communications (including Form PTO-1595).
- Fee Calculation
- Amendment changing number of claims or deleting multiple dependencies is enclosed.

CLAIMS AS FILED

	Number Filed	Number Extra	Rate	Basic Fee
Total Claims	60 - 20 =	40	\$18.00	720.00
Independent Claims	7 - 3 =	4	\$78.00	312.00
Multiple Dependent claim(s), if any			\$260.00	0.00
			Filing Fee Calculation	\$1,792.00

6. X Verified Statement (Declaration) Claiming Small Entity Status 50% Filing Fee Reduction (if applicable) \$896.00
7. Other Fees 40.00
- X Assignment Recordation Fee 0.00
- Other
- TOTAL FEES ENCLOSED \$936.00**
8. Payment of Fees
- X Check in the amount of \$936.00 (\$896.00 for basic filing fee and \$40.00 for Assignment Recordation fee) enclosed.
9. X Authorization to Charge Additional Fees
- The Commissioner is hereby authorized to charge any additional fees (or credit any overpayment) associated with this communication and which may be required under 37 CFR § 1.16 or § 1.17 to Account No. 08-1275. An originally executed duplicate of this transmittal is enclosed for this purpose.
10. - Information Disclosure Statement
11. X Return Receipt Postcard

Dated: April 20, 1999

By: Jonathan O. Owens
Name: Jonathan O. Owens
Registration No.: 37,902



Applicant Or Patentee: Hy Murveit et al.
 Serial or Patent No.:
 Filed or Issued: herewith
 Entitled: ADAPTIVE MULTI-PASS SPEECH RECOGNITION SYSTEM

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
 STATUS (37 CFR § 1.9(c)) - SMALL BUSINESS CONCERN**

I hereby declare that I am

☒ X

the owner of the small business concern identified below:
 an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: Nuance Communications
 Address of Concern: 1380 Willow Road
 Menlo Park, California 94025

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 CFR §§ 121.3-18, and reproduced in 37 CFR § 1.9(d), for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled ADAPTIVE MULTI-PASS SPEECH RECOGNITION SYSTEM by inventor(s) Hy Murveit et al. as described in:

☒ X the specification filed herewith
☐ — Application Serial No. , filed
☐ — Patent No. , issued

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR § 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR § 1.9(e) or a nonprofit organization under 37 CFR § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR § 1.27).

Full Name: _____

Address: _____
☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of Person Signing: Graham Smith

Title in Organization: Vice President and CFO

Address of Person Signing: Nuance Communications, 1380 Willow Road, Menlo Park, California 94025

Dated: 4/15/99

Signature: 

03294847-042099